

## Information Technology Attachment for Questions and Answers

### Exhibit 4-2 PIMS Summary

CEC Data Collection Method / System	
<i>Program Information Management System</i>	
Description	
<p>The Energy Research and Development Division (ERDD) administers the Public Interest Energy Research (PIER) program and awards up to \$83.5 million annually to promote energy research, development, and demonstration projects in the public interest. The Fuels and Transportation Division (FTD) administers the Alternative and Renewable Fuels and Vehicle Technology (ARFVT) program and awards up to \$120 million annually to promote the research, development, and implementation of alternative and renewable fuels and vehicle technology.</p> <p>Agreement managers in ERDD and FTD use PIMS to oversee and monitor projects funded by these programs. PIMS supports budget allocation, proposal evaluation, award, payment tracking, and project closeout processes. PIMS also supports solicitation management processes to a limited degree. In addition, PIMS provides standard reports related to these activities.</p>	
Data Subjects Reported	
<p>Staff, Budgets, Solicitations, Participants, Agreements, and Projects.</p> <p>As of April 2008, for ERDD only, PIMS tracked information for 383 active or completed agreements, 589 work authorizations, and 2,015 projects.</p>	
Data Collected	
<p>Agreement information (proposals, contracts, work authorizations)</p> <p>Fiscal information (allotments, budgets, encumbrances, invoices)</p> <p>Company information</p> <p>Meeting information</p> <p>Project information (progress reports, management reviews, publications, summary)</p> <p>Solicitation information</p>	
Information Security, Privacy, and Confidentiality	
<p>Some data contained in PIMS is sensitive and is accessible only by authorized agreement managers.</p>	
Collection Frequency	
<p>Weekly, Monthly, Quarterly, Annual</p>	
Key Dates	
Budget July	Schedule 7A September
Mid Year January	Spring Finance April
May Revised May	End of Year June

(continued on next page)

**Exhibit 4-2 PIMS Summary** *(continued)*

Primary Use
Program oversight, tracking, and evaluation PIMS provides information used in the preparation of the <i>Public Interest Energy Research Annual Report</i>
Data Users
Energy Research & Development Division personnel Fuels & Transportation Division personnel Commissioners Legislature
Dissemination Method(s)
Web-based, primarily via intranet and virtual private network Web-based dynamic reports
Data Form
Microsoft SQL Server
Documentation Available for this Data Collection Method / System
List of all data elements Data dictionary containing at least the data element format and definitions Location of stored data

### Exhibit 4-3 Budgets System Summary

CEC Data Collection Method / System	
<b>Budgets System</b>	
<b>Description</b>	
<p>The California Energy Commission's Budgets Office is responsible for tracking Commission-wide use of appropriations, allotments, and obligations as they pertain to contract, grants, and loans. The Budget Office accomplishes that by tracking:</p> <ul style="list-style-type: none"> <li>• Fund Titles (Item number, Chapter number, Statute, Fiscal year, Fund Expiration Dates)</li> <li>• Program/Category Information</li> <li>• Budget List Numbers</li> <li>• Baseline Budgets, Revisions and Special Appropriations</li> <li>• Program Cost Accounts (PCAs)</li> <li>• Allotments</li> <li>• Obligation Amounts, Balance, Re-directions and Expiration Dates.</li> </ul>	
<b>Data Subjects Reported</b>	
<p>Energy Commission Annual Budget. Total Records including transactions – 15,206</p>	
<b>Data Collected</b>	
Annual Budget	Allocations
Expenditures	Index Codes
Program Cost Accounts	Object Codes
<b>Information Security, Privacy, and Confidentiality</b>	
<p>Some data contained in the Budgets System is identified as working files and termed sensitive to staff outside of the Budgets Office.</p>	
<b>Collection Frequency</b>	
<p>Daily, Weekly Monthly, Semi Annual, Annual</p>	
<b>Key Dates</b>	
Budget July,	Schedule 7A September
Mid Year January	Spring Finance April
May Revised May	End of Year June

(continued on next page)

**Exhibit 4-3 Budgets System Summary** *(continued)*

Primary Use
Monitoring and evaluation Reporting to the federal government Reporting to the state government
Data Users
CEC Budgets Office
Dissemination Method(s)
Web-based via intranet only Web-based dynamic reports Downloadable data files
Data Form
Microsoft SQL Server, Microsoft Excel
Documentation Available for this Data Collection Method / System
List of all data elements Data dictionary containing at least the data element format and definitions Location of stored data

## Exhibit 4-4 Contracts Summary

CEC Data Collection Method / System	
<b>Contracts System</b>	
<b>Description</b>	
<p>The Energy Commission's Contracts Office follows State law and Energy Commission policy in making sure that all Contract Agreements are fully executed before a Contractor begins work. An agreement is NOT considered executed until it has received all required approvals, including DGS approval if required, and has been signed by both the Contractor and Contracts Office Manager.</p> <ul style="list-style-type: none"><li>• A Division's approved contract package submitted by a Contract Manager is delivered to the Contracts Office which performs the following review:</li><li>• Completeness of Information</li><li>• Contractor selection process and appropriate justification</li><li>• Review Non-Competitive Bid (NCB) request and route for approval</li><li>• Review Disabled Veteran Business Enterprise (DVBE) exemption request and route for approval</li><li>• Assigns a contract number and enter in the contract tracking system</li></ul>	
<b>Data Subjects Reported</b>	
<p>Contracts for the California Energy Commission Total records including transactions – 15,639</p>	
<b>Data Collected</b>	
Contractor Details	Special Preference Program Detail
Project Manager Details	DVBE Details
Contract Details	
<b>Information Security, Privacy, and Confidentiality</b>	
<p>Information recorded during the bidding part of the contract is confidential. Once a contract award is made the data/information is no longer confidential.</p>	
<b>Collection Frequency</b>	
<p>Daily</p>	
<b>Key Dates</b>	
<p>Fiscal Year Cut Off June 30<sup>th</sup> of each year</p>	
<b>Primary Use</b>	
<p>Recording Contracts Overseeing the Contract Bidding Process Contract Award</p>	
<b>State / Federal Programs Supported</b>	
<p>DVBE Small Business CMAS MSA</p>	

*continued on next page)*

**Exhibit 4-4 Contracts System Summary** *(continued)*

<b>Data Users</b>
CEC – Contracts Office, Budgets Office, Legal Office, Executive Office, Program Divisions
<b>Dissemination Method(s)</b>
Web-based dynamic reports Downloadable data files
<b>Data Form</b>
SQL Server Database, Microsoft Excel
<b>Documentation Available for this Data Collection Method / System</b>
List of all data elements Data dictionary containing at least the data element format and definitions Location of stored data User Guide

#### Exhibit 4-5 Grants & Loan System Summary

CEC Data Collection Method / System	
<i>Grants &amp; Loan System</i>	
Description	
<p>The California Energy Commission uses the Integrated Grants and Loans system to collect and manage data associated with state and federal grants and loans programs. These financial instruments are used to supplement and support energy efficiency projects throughout the State of California. The purpose of a majority of these grants or loans is to assist cities, counties and other public entities in implementing projects and programs to reduce total energy use, reduce fossil fuel emissions, and improve energy efficiency in building and other appropriate sectors. A majority of these funds from this program go directly to local governments, public institutions, tribal governments and a smaller amount goes to other approved recipients.</p>	
Data Subjects Reported	
Active Loans - 175	Total Loans - 675
Active Grants – 123	Total Grants – 1,330
Total Records including transactions 0 35,043	
Data Collected	
Recipients (Name, Address, City)	Budget and Allocated Funding
Industry Sector	Facility Type
Energy Conservation Measures	Legislative Districts (senate/Assembly)
Loan Data (Amount/Interest/Term)	Energy Efficiency Information (Payback/Technology)
Information Security, Privacy, and Confidentiality	
<p>Access to the system is controlled via Active Directory and is only accessible via the Energy Commission Intranet. Users are granted Viewer, User, or Administrative rights by the system administrator.</p>	
Collection Frequency	
Semi Annually for loans	
Key Dates	
Loans due June/December	
Primary Use	
Monitoring and evaluation	
Reporting to state and federal government	
Invoicing for Loans	
Reporting to the public	

(continued on next page)

**Exhibit 4-5 Grants & Loan System Summary** *(continued)*

State / Federal Programs Supported
Data Users
Special Projects Office, Fuel & Transportation Division Grants and Loans Office Accounting Office
Dissemination Method(s)
Web-based via Intranet only Downloadable data files
Data Form
MS SQL Server Database, Microsoft Excel
Documentation Available for this Data Collection Method / System
Data Dictionary Location of stored data User Manual